

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or the below named inventors are the original, first and joint inventors (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **WATER SOLUBLE PACLITAXEL DERIVATIVES**, the Specification of which:

is attached hereto.  
 was filed on **March 30, 1998** as Application Serial No. **09/050,662**.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims.

I acknowledge the duty to disclose to the Patent and Trademark Office all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose all information known to me to be material to patentability of the subject matter claimed in this application, as "materiality" is defined in Title 37, Code of Federal Regulations, § 1.56, which become available between the filing date of the prior application and the national or PCT international filing date of this application:

08/815,104 (Application Serial No.)	March 11, 1998 (Filing Date)	Pending (Status)
60/013,184 (Application Serial No.)	March 12, 1996 (Filing Date)	Co-Pending (Status)

I hereby direct that all correspondence and telephone calls be addressed to David L. Parker, Arnold, White & Durkee, P.O. Box 4433, Houston, Texas 77210, (512) 418-3000.

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States

Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Full Name:	Chun	Li
Inventor's Signature:	<i>Chun</i>	
Country of Citizenship:	P. R. CHINA	Date: 5-1-98
Residence Address: (street, number, city, state, and/or country)	811 BUCKEYE PLACE MISSOURI CITY, TX 77459	
Post Office Address: (if different from above)		

Inventor's Full Name:	Sidney	Wallace
Inventor's Signature:	<i>Sidney Wallace</i>	
Country of Citizenship:	U.S.A.	Date: 5-4-98
Residence Address: (street, number, city, state, and/or country)	3324 Pittsburg Street Houston, Texas 77005	
Post Office Address: (if different from above)		

Inventor's Full Name:	Dong-Fang	Yu
Inventor's Signature:	<i>Dongfang Yu</i>	
Country of Citizenship:		Date: 5-4-98
Residence Address: (street, number, city, state, and/or country)	15002 Beechurst Dr. Houston, TX 77062	
Post Office Address: (if different from above)		

Inventor's Full Name:	David	J.	Yang
Inventor's Signature:	<i>David J. Yang</i>		
Country of Citizenship:	USA	Date: 5-4-98	
Residence Address: (street, number, city, state, and/or country)	1123 Spinnaker Way Sugar Land, TX 77478		
Post Office Address: (if different from above)			

Atty. Dkt. No. 077319-0333

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****Applicant:** Chun Li et al**Title:** WATER SOLUBLE PACLTAXEL  
DERIVATIVES**Appl. No.:** 10/146,808**Filing Date:** 06/17/2002**Examiner:** M. Hartley**Art Unit:** 1616**ASSOCIATE POWER OF ATTORNEY****Commissioner for Patents  
Washington, D.C. 20231****Sir:**

The above-identified application is a continuation of co-pending U.S. Serial No. 08/050,362, filed March 30, 1998, which is a continuation-in-part of U.S. Serial No. 08/815,104 filed March 11, 1997, based on 00/013,184 filed March 12, 1996, for which the undersigned attorney is vested with Power of Attorney (see attached Declaration and Power of Attorney).

The undersigned attorney, therefore, appoints the following registered attorney:

**Donald W. Wyatt, Reg. No. 40,579,**

as an associate with full power to prosecute this application and any continuations, divisions, reissues, and reexaminations thereof, to receive the patent, and to transact all business in the United States Patent and Trademark Office connected therewith.

Atty. Dkt. No. 077318-0333

Please continue to direct all future correspondence concerning this application

to:

Stephen A. Bent  
FOLEY & LARDNER  
Customer Number: 22428

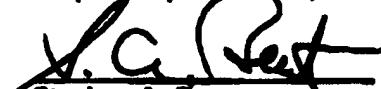
[REDACTED]

22428

PATENT TRADEMARK OFFICE

Telephone: (202) 672-5404  
Facsimile: (202) 672-5399

Respectfully submitted,



Stephen A. Bent  
Registration No. 29,768

Dated: September 24, 2002  
Foley & Lardner  
3000 K Street, N.W., Suite 500  
Washington, D.C. 20007-5143  
(202) 672-5300

CERTIFICATE OF MAILING  
37 C.F.R 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231, on the date below:

8-7-00  
Date

DAVID L. PARKER

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Li et al.

Serial No.: 09/050,662

Filed: March 30, 1998

For: WATER SOLUBLE PACLITAXEL  
PRODRUGS

Group Art Unit: 1616

Examiner: M. Hartley

Atty. Dkt. No.: WALC:008

APPOINTMENT OF ASSOCIATE POWER OF ATTORNEY  
AND CHANGE OF CORRESPONDENCE ADDRESS

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned, being an attorney of record in the above-identified application, hereby appoints:

Stephen A. Bent, Reg. No. 29,768, and Ronald J. Kamis, Reg. No. 41,104

each an attorney or agent of the firm of FOLEY & LARDNER, as its associate attorney or agent for so long as they remain with such firm, with full power of substitution and revocation, to prosecute the application, to make alterations and amendments therein, to transact all business in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent, and for one year after issuance of such Letters Patent to file any request for a certificate of correction that may be deemed appropriate.

**Please direct all communications as follows:**

Ronald J. Kamis  
**FOLEY & LARDNER**  
3000 K Street N.W., Suite 500  
Washington, DC 20007-5109

  
Respectfully submitted,

**David L. Parker**  
Reg. No. 32,165  
Attorney for Applicants

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Chun Li, Sidney Wallace, Dong-Fang  
Yu and David J. Yang

Serial No.: 09/050,662

Filed: March 30, 1998

For: WATER SOLUBLE PACLITAXEL  
DERIVATIVES

Group Art Unit: 1622

Examiner: Unknown

Atty. Dkt. No.: WALC:008/PAR

ELECTION UNDER 37 C.F.R. §§ 3.71 AND 3.73  
AND POWER OF ATTORNEY

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned, being Assignee of record of the entire interest in the above-identified application by virtue of an assignment recorded in the United States Patent and Trademark Office as set forth below, hereby elects, under 37 C.F.R. § 3.71, to prosecute the application to the exclusion of the inventors.

The Assignee hereby revokes any previous Powers of Attorney and appoints:

J. Paul Williamson, Reg. No. 29,600; Teresa J. Bowles, Reg. No. 40,526; Mark D. Moore, Reg. No. 42,903; David L. Parker, Reg. No. 32,165; Louis T. Pirkey, Reg. No. 22,393; Mark B. Wilson, Reg. No. 37,259; and Richard A. Nakashima, Reg. No. 42,023;

each an attorney or agent of the firm of ARNOLD WHITE & DURKEE, as its attorney or agent for so long as they remain with such firm, with full power of substitution and revocation, to prosecute the application, to make alterations and amendments therein, to transact all business in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent, and for one year after issuance of such Letters Patent to file any request for a certificate of correction that may be deemed appropriate.

Pursuant to 37 C.F.R. § 3.73, the undersigned has reviewed the evidentiary documents, specifically the Assignment to PG-TXL Company, L.P., referenced below, and certifies that to the best of my knowledge and belief, title remains in the name of the Assignee.

Please direct all communications as follows:

David L. Parker  
ARNOLD WHITE & DURKEE  
P.O. Box 4433  
Houston, Texas 77210-4433  
(512) 418-3000

ASSIGNEE:  
PG-TXL COMPANY, L.P.

By: Sunday Wallace  
Name: Sunday Wallace  
Title: President  
Date: 2-1-99

**ASSIGNMENT:**

Concurrently filed  
 Previously recorded

Date: \_\_\_\_\_  
Reel: \_\_\_\_\_  
Frames: \_\_\_\_\_

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Chun Li, Sidney Wallace, Dong-Fang  
Yu and David J. Yang

Serial No.: 09/050,662

Filed: March 30, 1998

For: WATER SOLUBLE PACLITAXEL  
DERIVATIVES

Group Art Unit: 1622

Examiner: Unknown

Atty. Dkt. No.: WALC:008/PAR

POWER OF ATTORNEY

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The undersigned, being the inventors named in the above-identified application, hereby revokes any previous Powers of Attorney and appoints:

J. Paul Williamson, Reg. No. 29,600; Teresa J. Bowles, Reg. No. 40,526; Shelley P.M. Funesy, Reg. No. 39,458; David W. Hibler, Reg. No. 41,071; Steven L. Highlander, Reg. No. 37,642; Nabeela R. McMillian, Reg. No. P-43,363; David L. Parker, Reg. No. 32,165; Gary J. Sertich, Reg. No. 34,430; Mark B. Wilson, Reg. No. 37,259; and Julie A. Scott, Reg. No. P-43,099;

each an attorney or agent with the law firm of ARNOLD, WHITE & DURKEE, as its attorney or agent so long as they remain with such law firm, with full power of substitution and revocation, to prosecute the application, to make alterations and amendments therein, to transact all business in the Patent and Trademark Office in connection therewith, and to receive any Letters Patent, and for one year after issuance of such Letters Patent to file any request for a certificate of correction that may be deemed appropriate.

Please direct all communications as follows:

A: 19400000000000000  
14014

David L. Parker  
ARNOLD, WHITE & DURKEE  
P.O. Box 4433  
Houston, Texas 77210-4433  
(512) 418-3000

Signature: Chens Date: 5-7-98  
Name: Chun Li

Signature: Sidney Wallace Date: 5-7-98  
Name: Sidney Wallace

Signature: Deng Yu Date: 5-7-98  
Name: Deng Fang Yu

Signature: David J. Yang Date: 5/7/98  
Name: David J. Yang

Wkly  
008



Austin  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

PAR 1 HUR

JUNE 10, 1999

PTAS

DOCKETED

ARNOLD WHITE & DURKEE  
DAVID L. PARKER  
P.O. BOX 4433  
HOUSTON, TEXAS 77210



\*100996374A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/22/1999

REEL/FRAME: 9847/0336  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LI, CHUN

DOC DATE: 02/01/1999

ASSIGNOR:

WALLACE, SIDNEY

DOC DATE: 02/01/1999

ASSIGNOR:

YU, DONG-FANG

DOC DATE: 02/01/1999

ASSIGNOR:

YANG, DAVID J.

DOC DATE: 02/01/1999

ASSIGNEE:

PG-TXL COMPANY, L.P.  
3324 PITTSBURG STREET  
HOUSTON, TEXAS 77005

SERIAL NUMBER: 09050662  
PATENT NUMBER:

FILING DATE: 03/30/1998  
ISSUE DATE:

REC'D. - A. W. & D.

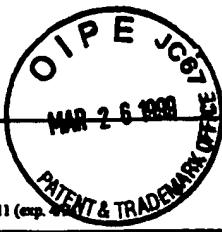
JUN 22 1999

HOUSTON DOCKETING DEPT.

DOCKETED  UPDATED   
Previously  Not Required   
Appl. Inf. \_\_\_\_\_  
Reg/Grant Info. \_\_\_\_\_  
Action Required: Transferred  
Date Due/Done: 4/15/99  
By: John Checked John  
CPI Therapeutics

9847/0336 PAGE 2

SHARON LATIMER, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



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U.S. Department of Commerce

FORM PTO-1595

(Rev. 6-93)

OMB No. 0651-0011 (exp. 4-30-98)

PATENTS ONLY

Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original document or copy thereof.

1. Name of conveying party(ies):

Chun Li, Sidney Wallace, Dong-Fang Yu and  
David J. Yang

Additional name(s) of conveying party(ies) attached?  Yes  No

3. Nature of conveyance:

Assignment  
 Security Agreement  
 Other

Merger  
 Change of Name

Execution Date: February 1, 1999

2. Name and address of receiving party(ies):

Name: PG-TXL COMPANY, L.P.

Internal Address:

Street Address: 3324 Pittsburg Street

City: Houston State: TX Zip: 77005

Additional name(s) & address(es) attached?  Yes  No

4. Application number(s) or registration number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s):

09/050,662

B. Patent No.(s):

Additional numbers attached?  Yes  No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David L. Parker  
Arnold White & Durkee  
P.O. Box 4433

City: Houston State: Texas Zip: 77210

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. 3.41) \$ 40.00

Enclosed

Authorized to be charged to deposit account  
if check insufficient or inadvertently omitted

8. Deposit account number: 01-2508/WALC:008/PAR  
(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

David L. Parker

3 22 99

Name of Person Signing, Reg. No. 32,165

Signature

Date

Total number of pages including cover sheet, attachments and documents: 4

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks, Office of Public Records,

Crystal Gateway 4, Room 335, Washington, D.C. 20231

03/31/1999 00000077 09050662

01 FC:581

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CERTIFICATE OF MAILING

37 C.F.R. 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Commissioner of Patents and Trademarks, Office of Public Records, Crystal Gateway 4, Room 335, Washington, DC 20231, on the date below.

March 22, 1999  
Date

David L. Parker

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, do hereby:

SELL, ASSIGN AND TRANSFER to PG-TXL Company, L.P. (the "Assignee"), having a place of business at 3324 Pittsburg Street, Houston, Texas 77005, the entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, Serial No. 09/050,662, which has been filed on March 30, 1998 and is entitled "**WATER SOLUBLE PACLITAXEL DERIVATIVES**", such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;

Signature: Dongfang Yu Date: 2-1-99  
Name: Dong-Fang Yu

STATE OF TEXAS )  
 ) ss.  
COUNTY OF Harris )

BEFORE ME, the undersigned authority, on this 18<sup>th</sup> day of February, 1999,  
personally appeared Dong-Fang Yu, known to me to be the person whose name is subscribed to  
the foregoing instrument and acknowledged to me that he executed the same of his own free will  
for the purposes and consideration therein expressed.

Allice M. Brin  
Notary or Consular Officer

[SEAL]

Signature: David J. Yang Date: 2/1/99  
Name: David J. Yang

STATE OF TEXAS )  
 ) ss.  
COUNTY OF Harris )

BEFORE ME, the undersigned authority, on this 18<sup>th</sup> day of February, 1999,  
personally appeared David J. Yang, known to me to be the person whose name is subscribed to  
the foregoing instrument and acknowledged to me that he executed the same of his own free will  
for the purposes and consideration therein expressed.

Allice M. Brin  
Notary or Consular Officer

[SEAL]

ARNOLD WHITE & DURKEE  
P. O. Box 4433  
Houston, Texas 77210

One Franklin Square  
1301 K Street, N.W.  
Suite 350 East Tower  
Washington, DC 20005

TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

Signature: Chun Li  
Name: Chun Li

Date: 2-1-99

STATE OF TEXAS )  
COUNTY OF Harris ) ss.

BEFORE ME, the undersigned authority, on this 18 day of January, 1999, personally appeared Chun Li, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

Xavier M. Brusia  
Notary or Consular Officer

[SEAL]

Signature: Sidney Wallace  
Name: Sidney Wallace

Date: 2-1-99

STATE OF TEXAS )  
COUNTY OF Harris ) ss.

BEFORE ME, the undersigned authority, on this 18 day of January, 1999, personally appeared Sidney Wallace, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

Xavier M. Brusia  
Notary or Consular Officer

[SEAL]